

Department of Transportation

TRANSPORTATION PLANNING GRANT CONTRACTING AND MANAGEMENT

FY 2009 - 2010



Congratulations!

- Nearly 90 Community Based Transportation Planning (CBTP) and over 50 Environmental Justice (EJ) grant applications were submitted with a combined request value of nearly \$35 million!
- This represents a substantial increase over all previous grant cycles.

Grant Selection Was Highly Competitive

- Grant awardees are among a very select group.
- 19 CBTP grants valued at \$2.6 million and 19 EJ grants valued at \$2.7 million were awarded.

Today's Objectives

- Celebrate success!
- Prepare for the contracting process.
- Discuss successful project execution.
- Review reporting expectations.
- Establish a strong partnership between Caltrans and grant winners.

Agenda

- Welcome/Introductions
- Review Agenda
- Who is involved?
- Responsibilities of parties involved
- Contract Process – How to Complete a Service Contract Request (Form 360)
- Invoicing
- Contract Closeout
- Questions & Answers

Who is involved?

- The grantees: The folks who will conduct the projects.
- Caltrans district staff: The main point of contact between grantees and Caltrans.
- Office of Community Planning (OCP) staff from Division of Transportation Planning (DOTP) at Caltrans Headquarters: Management of grant programs at a policy and statewide level.

Who is involved?

- Resource Management Branch (RMB): Tracks, reviews and monitors the reimbursement of funds to grantees.
- Division of Procurement and Contracts (DPAC): Develops all Caltrans contracts.

Contracting Process

Overview of Process
and Pathways

Steps in the Contracting Process

- District grant manager and grantee review required elements of a contract and any items specified as conditions for grant award.
- Grantee completes contract documents, revises scope of work and schedule, and fulfills grant award conditions.

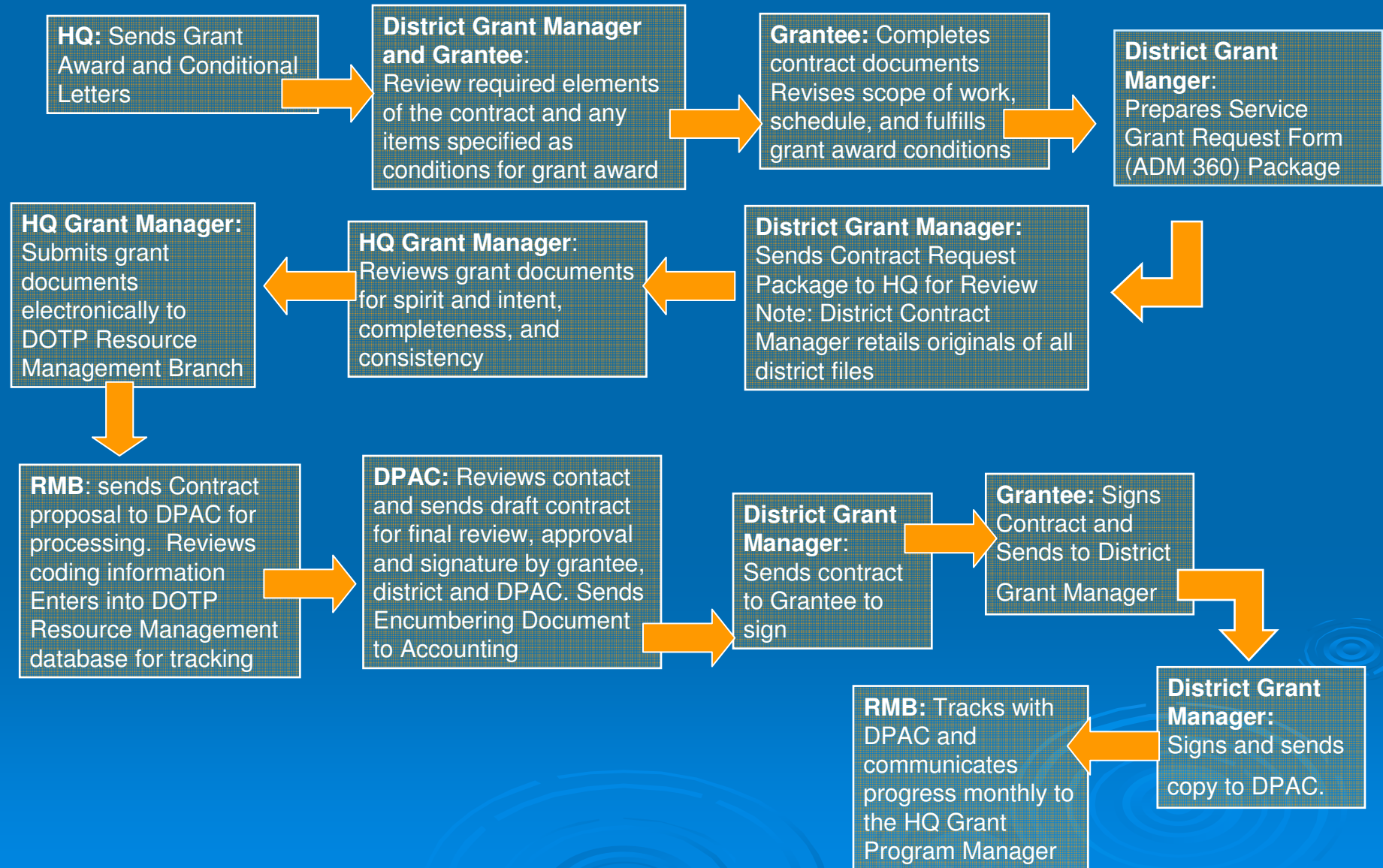
Steps in the Contracting Process

- Grantee sends package to district grant manager for review.
- District grant manager sends package to HQ Grant Program manager in the Office of Community Planning.
- Office of Community Planning reviews package and sends it to Resource Management Branch.
- Resource Management Branch reviews package and enters project information into tracking system.

Steps in the Contracting Process

- Contract proposal is sent to DPAC for processing.
- Draft contract is sent back for final review, approval and signature by grantee, district and DPAC.
- Project begins...

CBTP and EJ Grant Contracting Process



Contracting

Formalizing the Project

Contracting

Responsibility: District Grant Manager

- Review documents needed for contract package with grantee.
- Review any conditions of approval.
- Provide technical recommendations and assistance in preparation of documents.
- Provide review and feedback of documents.

Contracting

Responsibility: Grantee

- Prepare contract package for submittal.
- Modify and update Scope of Work and Schedule.
- Complete tasks or modifications necessary to meet any specified conditions.
- Maintain contact with your District grant manager through grant process.

Contracting

Responsibility: District Grant Manager

- Prepare and sign Service Contract Request Form (ADM- 360).
- Work with Grantee to ensure a complete Service Contract Request package (completed 360, fully- developed Scope of Work (Word), Budget/Timeline (Excel), Local Resolution (PDF)).
- Send Service Contract Request package electronically to HQ Grant Program Manager
- Retain original documents in District files.

Contracting

Responsibility: HQ Grant Program Manager

- Review grant documents for spirit and intent, completeness, and consistency.
- Work with District Grant Manager to revise as needed.
- Submit grant documents electronically to Resource Management Branch.

Contracting

Responsibility: Resource
Management Branch (RMB)

- Enter into Resource Management database for tracking.
- Submit all contract documents electronically to the Division of Procurement and Contracts (DPAC).
- Track with DPAC and communicate progress monthly to the HQ Grant Program Manager.

Contracting Responsibility: DPAC

- Send Fund Transfer Agreement (FTA) to Grantee for signature.
- Send Encumbering Document to Accounting.

Contracting

Responsibility: Grantee

- Sign FTA and return to DPAC.

Contracting Responsibility: DPAC

- Sign FTA.
- Send copies of executed FTA to Grantee, District Grant Manager, HQ Program Manager and RMB.

Fund Transfer Agreement – FTA

Completing a Form 360

Contract Service Request

Completing a Form 360

| | | | | | |
|--|---|---|--|-----------------|---------------|
| STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION SERVICE CONTRACT REQUEST ADM 0360 (Rev 07/07) <i>Electronic Submittal: Non A&E – Lotus Notes Address “Contract Submittal” A&E – Lotus Notes Address “AE Contract Submittal”</i> | | DIVISION OF PROCUREMENT AND CONTRACTS USE ONLY | | | |
| REQUESTER | | | | | |
| Contract Request # DOTP-09-xxx | | District/Division Your D / Your Division | | | |
| Mail Station XX | Office/Branch XXXX / XXXXXXXX | ASSESSMENT REVIEW | | | |
| Contract Manager (Print) Your Name | | Logged In By Logged In Date Team Accepted By | | | |
| Contract Manager (Signature) xxx xxx-xxxx | | Reason Not Accepted | | | |
| | | Assigned To | | DPAC Contract # | Category Code |

Contract Request # supplied by Jodi Lehmkuhl
This will be assigned when paper work is received at HQ

**** Contract Manager and Approving Manager **CAN NOT** be the same person.

Completing a Form 360

AGREEMENT OUTLINE

Identify specific problem, administrative requirement, program need, or other circumstances making contract necessary. In addition, cite specific statutory authority justifying contracting out. *(See instructions for assistance)*

GC 19130(b)3: The services are not available within civil service; cannot be performed satisfactorily by civil service employees; or are of such highly specialized and technical nature that the expert knowledge, experience and abilities required are not available through the civil service system.

Type of Contract: FTA

Project Title; Exactly as approved on Grant Application

Short Description of work to be performed as described in Grant Application

Grantee Agency Name

Grantee Project Manager

Mailing Address

Phone Number

FAX Number

Federal ID Number

Completing a Form 360

| | |
|--|---|
| DESIRED TERM OF CONTRACT Start Date 1/5/2010* End Date 2/28/2012 Number of Working Days (Minor B Only) | |
| NEW, RENEWAL, OR AMENDMENT (CHECK ONE ONLY) <input checked="" type="checkbox"/> New Service <input type="checkbox"/> Renewal - Prior Contract # _____ <input type="checkbox"/> Amendment - Original Contract # _____ | |
| DESIRED SOCIOECONOMIC PARTICIPATION <input checked="" type="checkbox"/> No Goals <input type="checkbox"/> State or State/Local Funds DVBE Goals _____ % <input type="checkbox"/> Fed or Fed/State Funds DBE Goals _____ % <input type="checkbox"/> Small Business Solicitation Invitation For Price Quote Process | |
| COMPLETE YOUR ADM 0360 PACKAGE BY ATTACHING: <i>(See instructions for assistance)</i> | |
| <input checked="" type="checkbox"/> f Work <input type="checkbox"/> Bidders/Proposers List <input type="checkbox"/> Bid Sheet <input type="checkbox"/> Prior Contract <input type="checkbox"/> Original Contract <input type="checkbox"/> Minor B Contract Documents <input type="checkbox"/> Non Competitively Bid ADM 3007 | <input type="checkbox"/> Conflict of Interest FM DGS-GC 19990 <input type="checkbox"/> Confidentiality of Information FM 65 <input type="checkbox"/> Selection Committee Members <input type="checkbox"/> Selection Committee Nomination Memo <input type="checkbox"/> Work Plan Justification <input type="checkbox"/> IT Required Documents <input type="checkbox"/> Approved No Goals Justification <input type="checkbox"/> Emergency Contract Documents |
| x Local Resolution x Project Timeline | |

*Estimated Contract Execution Date – 60 days after complete package submitted to DPAC

Completing a Form 360

| FUNDING (Post Funding For This Contract Request Only) | | | | | | | | | |
|---|-------------|-----------------|---------------------------|--------------|---------------------|---|-------------------------|-------------------|---------------------|
| Source District | Source Unit | Charge District | Expenditure Authorization | Subjob | Special Designation | Fed Aid | Object Code | Amount | Fiscal Year |
| 74 | * | Your ID | ** | | *** | 7 | 049 | Your Grant Amount | 10 |
| | | | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| TOTAL | | | | | | | | | |
| Agency Billing Code | | Fund Title | Budget Item | Fund Chapter | Statute | Cap Outlay Funds | Fund Source Percentages | | |
| **** | | SHA | 2660-102-0042T | 01 | 2009 | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> | Fed | %State | %Local 100 %Other % |

*EJ = 169

*CBTP = 167

** EJ = 606870

CBTP = 606869

*** Assigned by HQ Program

**** District 1 = 60152

District 2 = 60153

District 3 = 60190

District 4 = 60145

District 5 = 60154

District 6 = 60146

District 7 = 60147

District 8 = 60143

District 9 = 60155

District 10 = 60142

District 11 = 60144

District 12 = 60600

Completing Form 360

APPROVALS

| | | | | |
|--|----------------------|-----------|--------------------|------|
| BUDGET REPRESENTATIVE CERTIFIES ACCURACY & AVAILABILITY OF FUNDING | Print Cheryl Babcock | Signature | Phone 916 654-4499 | Date |
| APPROVING MANAGER CERTIFIES CONTRACT JUSTIFICATION & COMPLETE ADM0360 PACKAGE | Print ** | Signature | Phone () | Date |
| DISTRICT DIRECTOR / DIVISION CHIEF CERTIFIES EMERGENCY CONTRACT JUSTIFICATION | Print | Signature | | Date |

**** - District Contract Manager Supervisor Signature**

The Scope of Work (SOW)

Who, What, Where,
When, Why and How
Much?

The Scope of Work (SOW) is a Key Document

- The SOW is the official description of work requirements needed to fulfill your contract.
- The SOW is the road map to the successful completion of your project.
- The SOW will be the reference point for project progress monitoring.

Elements of a Scope of Work

- Lists all major project tasks.
- Lists subtasks.
- “Deliverables” or products from each task and subtask.
- Description of work methods.
- Assignment of responsibility for task completion.

Tips and Pointers

- All tasks and task elements must be in alignment with the project narrative.
- Check task list for proper sequencing.
- Check task list for thoroughness and accuracy.

A Sample SOW Section

Task 2: Ongoing Community and Stakeholder Outreach

Task 2.1: Promote/Advertise charrettes through a multi media campaign (including use of newspaper and radio) and through the Community Advisory Committee and other stakeholders.

Task 2.2: Conduct 2 to 3 charrettes to gain public involvement and refine concepts to incorporate into the plans.

Task 2.3: Conduct Technical Advisory Group (TAG) and Community Advisory Committee (CAC) meetings to ensure community and stakeholder participation throughout the project, including document review.

Deliverable

Promote and advertise charrettes

Conduct charrettes

Conduct TAG & CAC meetings

Documentation

Copies of advertisements and promotional materials

Meeting notes and/or summary of outcomes

Meeting notes

The Project Timeline\ Schedule

Timing is everything...

Sample The Project Timeline\ Schedule

California Department of Transportation Transportation Planning Grants Fiscal Year 2009-2010

SAMPLE PROJECT TIMELINE

| Project Title | | ACME CAP, Streetscape, Parking & Circulation Plans | | | | | | Grantee | | THE Council of Governments | | | | | | | | | | | | | | | | | |
|---------------|---|--|-------------|-----------|-----------|----------|---------------------|---------|---|----------------------------|------------|---|---|---|------------|---|---|---|-------------|---|---|---|---|---|---|---|--|
| Task Number | Tasks | Responsible Party | Fund Source | | | | Fiscal Year 2010/11 | | | | FY 2011/12 | | | | FY 2012/13 | | | | Deliverable | | | | | | | | |
| | | | Total Cost | Grant | Local | In-kind | Other | J | A | S | O | N | D | J | F | M | A | M | | J | J | A | S | O | N | D | J |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1.0 | Pre-contracting conference | THECOG/ CT | | | | | | | | | | | | | | | | | | | | | | | | | Meeting notes |
| 1.1 | RFP Preparation | THECOG | \$500 | \$400 | \$50 | \$50 | | | | | | | | | | | | | | | | | | | | | Prepare Contract |
| 1.2 | Kick-off Meeting | THECOG/ABC | \$500 | \$400 | \$50 | \$50 | | | | | | | | | | | | | | | | | | | | | Conduct Kick-off meeting |
| | Ongoing Community & Stakeholder Outreach | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2.1 | Promote/Advertise Charrettes | ABC | \$20,000 | \$18,000 | \$2,000 | | | | | | | | | | | | | | | | | | | | | | Charrettes promotional material |
| 2.2 | Conduct Charrettes | ABC | \$10,000 | \$9,000 | \$1,000 | | | | | | | | | | | | | | | | | | | | | | Charrettes notes |
| 2.3 | Conduct TAG and CAC meetings | ABC | \$10,000 | \$9,000 | \$1,000 | | | | | | | | | | | | | | | | | | | | | | TAG & CAC meeting notes |
| | Develop Plan Components | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3.1 | Develop Parking Plan | ABC | \$16,000 | \$14,400 | \$1,600 | | | | | | | | | | | | | | | | | | | | | | Parking Plan |
| 3.2 | Develop Circulation Plan | ABC | \$16,000 | \$14,400 | \$1,600 | | | | | | | | | | | | | | | | | | | | | | Circulation Plan |
| 3.3 | Develop Streetscape Plan | ABC | \$16,000 | \$14,400 | \$1,600 | | | | | | | | | | | | | | | | | | | | | | Streetscape Plan |
| 3.4 | Develop Funding Strategy | ABC | \$16,000 | \$14,400 | \$1,600 | | | | | | | | | | | | | | | | | | | | | | Funding Strategy |
| 3.5 | Provide draft plans to TAG, CAC & public | ABC | \$16,000 | \$14,400 | \$1,600 | | | | | | | | | | | | | | | | | | | | | | Draft plans and presentations |
| | Final Plan Preparation | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4.1 | Prepare final plans based on input received | ABC | \$7,500 | \$6,750 | \$750 | | | | | | | | | | | | | | | | | | | | | | Final plan(s) for hearing |
| 4.2 | Present final plan at THECOG public hearing | THECOG/ABC | \$7,500 | \$6,750 | \$750 | | | | | | | | | | | | | | | | | | | | | | Present plan(s) to THECOG at public hearing, meeting minutes |
| | Administration | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5.1 | Project monitoring & contract management | THECOG | \$7,000 | \$6,300 | \$350 | \$350 | | | | | | | | | | | | | | | | | | | | | Monitoring project and contract management |
| 5.2 | Submit Info for Quarterly reports | THE COG | \$0 | \$0 | \$0 | \$0 | | | | | | | | | | | | | | | | | | | | | Project status information |
| 5.3 | Fiscal management | THECOG | \$7,000 | \$6,300 | \$350 | \$350 | | | | | | | | | | | | | | | | | | | | | Invoices |
| | TOTALS | | | \$150,000 | \$134,900 | \$14,300 | \$0 | | | | | | | | | | | | | | | | | | | | |

This sample timeline is for illustrative purposes only. Your scope of work and timeline may include different tasks under different headings.

Tips and Pointers

- The schedule must align with the scope of work.
- The task items must include:
 - The party responsible for completion.
 - Cost.
 - Allocation of cost, ie. grant or local match in-kind, local match cash.
 - Deliverable.

Tips and Pointers

- Schedule must indicate providing of progress reporting each quarter.
- Schedule must include a project kick-off meeting between the district and the grantee.
- Schedule the consultant selection process.

Grant Contract Management

Teamwork For Success!

Grant Administration

Responsibility: Grant Manager

- Conduct kickoff meeting with Grantee.
NOTE: No charges can be incurred prior to execution of FTA (match or grant funds)
- Work with Grantee to ensure approved Scope of Work, Project Timeline, and Project Funding and Funding Chart are maintained.
- Submit quarterly progress reports to HQ Grant Program Manager.

District Grant Manager

Once Contract is Awarded

➤ *Read Contract: Know what it says.*

- Who is responsible for what?
- What are deliverables?
- When are services required?
- What is the Budget?

District Grant Manager Needs to Know

1. Is the project on schedule?
2. Is the project within budget?
3. Are services specified in the contract being received?
4. What is the quality of services or products received?

District Grant Manager – Once Contract is Awarded

Set up a contract file:

- ADM Form 360
- An executed copy of contract
- Log of contract activities
- Correspondence, including invoice disputes
- Retain copies of all invoices and supporting documentation
- Develop a spreadsheet for available funding and expenditures
- Progress Reports
- Close-out Documentation

District Grant Manager Contract Management

Monitor Grantee Performance:

- Prepare quarterly progress reports.

- Is work satisfactory?

If not, document poor performance, take corrective action – may need to withhold payment.

Note: Caltrans may request a project audit at any time.

- District Grant Manager needs to have open communication with grantee.

District Grant Manager

Contract Management - Payment

- Progress Payments – Payment should equal services provided.
- Payments should be made at milestone completion.
- Compare Rates with Budget – Only Pay for Deliverables Completed.
- Comply with Prompt Payment Provisions.
- Use Invoice Dispute Notice (Std. 209), if necessary.
- Monitor Expenditures.

Invoicing

“Show me the money....”

Invoicing

Responsibility: Grantee

- Submit invoices with supporting documents to District Grant Manager - no more frequently than monthly but at least quarterly...

...lump sum invoices are **not** allowed.

Invoicing – District Grant Manager

- **Ensure** Grantee is aware of monthly/quarterly invoicing requirement.
- **Receive, date stamp, review invoices** to ensure charges are consistent with the approved Scope of Work, Project Timeline, and Project Funding Chart.
- **Complete Receiving Record** – prepared by District Grant Manager and approved by Supervisor (two different names and signatures).
- **Forward** invoice electronically, Fax, or by overnight mail to DOTP Resource Management Branch.
- **Retain copies** of all documents in the District Grant Manager's project file.

Invoicing – District Grant Manager Receiving Record

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
RECEIVING RECORD
FA-1226A (REV 6/2004)

You can save data typed into this form for later editing, unless you click on the Lock Data Button.

Lock Data on Form

| | | | | | | | | | | | | | | | | |
|--|--|--|--|--|----------------------------|--|--|----------------------|--|-------------------------|--|--|----------------------|--|-------------------------|--|
| PLEASE CHECK ONE: <input type="checkbox"/> CDPO <input type="checkbox"/> CONTRACT <input type="checkbox"/> GSPO <input type="checkbox"/> OTHER _____ | | | | | | | | | | | | | | | PAGE NO. _____ OF _____ | |
| VENDOR NAME | | | | | RECEIVED BY (Please Print) | | | | | DATE RECEIVED / / | | SPECIAL INSTRUCTIONS: <input type="checkbox"/> DISCOUNT <input type="checkbox"/> EXPEDITE | | | | |
| PREPARED BY (Please Print) Ed Philpot | | | | | PHONE NUMBER () | | | DATE PREPARED / / | | APPROVED BY (Signature) | | | PHONE NUMBER () | | | |
| SERVICE CONTRACT NUMBER | | | | | PURCHASE ORDER NUMBER | | | | | VENDOR NUMBER | | | CURRENT DOCUMENT NO. | | | |

| DESCRIPTION/COMMENTS | T | C | D | S | SOURCE | | CHG | EXPENDITURE | SUBJOB | SPECIAL DESIGNATION | F | AGCY | OBJ | AMOUNT | > | REV | FFY | C | R | REFERENCE | SUF |
|----------------------|---|---|---|---|----------------|------|-----|-------------|---------------|---------------------|----------|---------|------------|--------------|---------|-----------|-----|---|---|-----------|-----|
| | | | | | DIST | UNIT | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | |
| | | | | | INVOICE NUMBER | | | | DOCUMENT DATE | SUBSIDIARY ACT | MSA CODE | OBJ DET | CHECK DATE | CHECK NUMBER | APP SYM | FUND CODE | F | S | | | |

| DESCRIPTION/COMMENTS | T | C | D | S | SOURCE | | CHG | EXPENDITURE | SUBJOB | SPECIAL DESIGNATION | F | AGCY | OBJ | AMOUNT | > | REV | FFY | C | R | REFERENCE | SUF |
|----------------------|---|---|---|---|----------------|------|-----|-------------|---------------|---------------------|----------|---------|------------|--------------|---------|-----------|-----|---|---|-----------|-----|
| | | | | | DIST | UNIT | | | | | | | | | | | | | | | |
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| | | | | | INVOICE NUMBER | | | | DOCUMENT DATE | SUBSIDIARY ACT | MSA CODE | OBJ DET | CHECK DATE | CHECK NUMBER | APP SYM | FUND CODE | F | S | | | |

| DESCRIPTION/COMMENTS | T | C | D | S | SOURCE | | CHG | EXPENDITURE | SUBJOB | SPECIAL DESIGNATION | F | AGCY | OBJ | AMOUNT | > | REV | FFY | C | R | REFERENCE | SUF |
|----------------------|---|---|---|---|----------------|------|-----|-------------|---------------|---------------------|----------|---------|------------|--------------|---------|-----------|-----|---|---|-----------|-----|
| | | | | | DIST | UNIT | | | | | | | | | | | | | | | |
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| | | | | | INVOICE NUMBER | | | | DOCUMENT DATE | SUBSIDIARY ACT | MSA CODE | OBJ DET | CHECK DATE | CHECK NUMBER | APP SYM | FUND CODE | F | S | | | |

| DESCRIPTION/COMMENTS | T | C | D | S | SOURCE | | CHG | EXPENDITURE | SUBJOB | SPECIAL DESIGNATION | F | AGCY | OBJ | AMOUNT | > | REV | FFY | C | R | REFERENCE | SUF |
|----------------------|---|---|---|---|----------------|------|-----|-------------|---------------|---------------------|----------|---------|------------|--------------|---------|-----------|-----|---|---|-----------|-----|
| | | | | | DIST | UNIT | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | |
| | | | | | INVOICE NUMBER | | | | DOCUMENT DATE | SUBSIDIARY ACT | MSA CODE | OBJ DET | CHECK DATE | CHECK NUMBER | APP SYM | FUND CODE | F | S | | | |

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

Invoicing Interest Penalty Policy

- The California Prompt Payment Act of 1999 requires paying an invoice within **45 calendar days**: (Penalties are paid by the district).
- 15 calendar days total for the **district and DOTP**.
15 calendar days for the Division of Accounting.
15 calendar days for State Controller's Office.
45 calendar days total.

Invoice Disputes

➤ Invoice Dispute – District Grant Manager

If there is a problem or a question regarding an invoice and it cannot be resolved within a day or two you must complete and send to the grantee an Invoice Dispute Notification Form (Std Form 209). This will “stop the clock” for the prompt payment timeline and must be done within **15 working days** from receipt of invoice.

STATE OF CALIFORNIA

INVOICE DISPUTE NOTIFICATION

Std. 209

PC/LAN (dispute rev. 2/1996)

ADA Notice

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

(Mail in a window envelope)

**VENDOR
ADDRESS**

DATE

INVOICE NUMBER

AMOUNT

\$

DATE RECEIVED

REFERENCE NUMBER(S)

(fold)

The invoice referenced above is disputed for the following reasons:

- | | |
|---|--|
| <input type="checkbox"/> Goods/Services not received | <input type="checkbox"/> Duplicate billing |
| <input type="checkbox"/> Noncompliance with contract | <input type="checkbox"/> Invoice belongs to another department |
| <input type="checkbox"/> Incorrect billing/amount due | <input type="checkbox"/> Damaged goods |
| <input type="checkbox"/> Partial shipment received | <input type="checkbox"/> Invoice not properly executed |
| <input type="checkbox"/> Other | |

THIS NOTIFICATION IS A FOLLOWUP TO A PHONE CONVERSATION WITH THE PERSON FROM YOUR COMPANY WHOSE NAME APPEARS BELOW:

NAME

DATE OF CONVERSATION

IF YOU HAVE ANY QUESTIONS REGARDING THIS DISPUTE, CONTACT:

NAME

TELEPHONE (Include Area Code)

(916) 227-

(fold)

FOR STATE AGENCY USE ONLY

DATE DISPUTE RESOLVED

INITIAL

RESOLUTION

RETURN COPY OF THIS NOTIFICATION

WITH THE CORRECTED INVOICE

(For your convenience, the return address has been provided for use in a window envelope.)

**RETURN
TO:**

Department of Transportation
Accounting
P.O. Box 168018
Sacramento, CA 95816
Attention:

DISTRIBUTION:

First - Vendor
Second - Accounting

Invoicing

Resource Management Branch

- Review Receiving Record package for accuracy and correct coding information, update the contract database, and forward to the Division of Accounting for payment.
- Provide expenditure reports to HQ Grant Program Manager quarterly or more often if requested.

Completing the Project

Close Out

Final Product

Responsibility: Grantee

- **Send copies of final product to District Grant Manager.**

(4 reproducible hard copies and 4 electronic copies on a CD – of the entire product).

Final Product

Responsibility: District Grant Manager

- Send one reproducible hard copy and one electronic copy of final product to:
 - HQ Grant Program Manager
 - HQ Caltrans Library
 - State Library
 - Retain one copy in District.

Contract Closeout

District Grant Manager

- Review and approve deliverables, including final product.
- Pay final invoice.
- Disencumber unused funds.
- Complete Contractor Evaluation form (Std. 4), if applicable.
- Retain file documentation for 5 years.

Headquarters Contacts

HQ Grant Program Managers

Carl Payne Environmental Justice Transportation Planning
(916) 653-3726

Jorge Rivas Environmental Justice Transportation Planning
(916) 654-6236

Russ Walker Community Based Transportation Planning
(916) 651-6886

Priscilla Martinez-Velez Partnership Planning and Transit Planning (916) 651-8196

DOTP Resource Management Branch

Jodi Lehmkuhl (916) 653-3896

Cheryl Babcock (916) 654-4499

Major Dates For Active Grants

- Completion of Form 360 package
 - December 1, 2009

- Quarterly Reports
 - January 15
 - April 15
 - July 15
 - October 15

Major Dates For Active Grants

- Work Completion Deadlines
 - FY 09-10 cycle:2/28/12
- Final Invoices: April 28

Resources

Office of Community Planning

<http://www.dot.ca.gov/hq/tpp/offices/ocp/>

Office of Community Planning Intranet

http://onramp.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox.html

EJ and CBTP Tool Box

http://www.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox.html

Grant Programs Overview

<http://www.dot.ca.gov/hq/tpp/grants.html>

DPAC

<http://admin.dot.ca.gov/pc/index.shtml>

Thanks for your participation

...any questions?